

New York City Board of Correction
Audit of New York City Department of Correction Facility Report of Area Lock-In Forms
April 2018

Purpose

In follow-up to a January report on the use of lockdowns in the New York City jails, the Board of Correction (BOC) sought to better understand the Department of Correction's (DOC or the Department) compliance with Minimum Standard 1-05, the DOC Lock-In/Lock-Out Directive, and the impact of lockdowns on mandated services. BOC conducted an audit of all DOC Facility Report of Area Lock-In Forms (Area Lock-In Forms) completed for lockdowns occurring in November 2017.

Background

The DOC Lock-In/Lock-Out Directive¹ requires DOC staff to report all unscheduled lock-ins to the Central Operations Desk (COD), and to record all information regarding an ordered lock-in on the Facility Report of Area Lock-In Forms.² This form includes information on the duration, housing area, reason for lock-in, and services affected for each lockdown incident. A sample copy of this form is included for reference in Attachment A.

Scope and Methodology

BOC staff requested all Area Lock-In Forms from all DOC facilities for the month of November 2017. The Department provided BOC with scanned copies of a total of 255 paper Area Lock-In Forms. Two forms were duplicate reports of the same lockdown incident,³ and 11 incidents were reported with more than one Area Lock-In Form (separate forms were completed for each housing area affected).⁴ BOC staff then compared the information reported on Area Lock-in forms with DOC's COD reports.

Number of Lockdowns Reported by Area Lock-In Forms vs. Number Reported in COD Reports

- Area Lock-In Forms were filled out for 229 lockdown incidents reported in DOC's 24-Hour COD Reports.
- Twenty-three (23) of the 252 lockdowns reported in the 24-Hour COD reports in November 2017 were missing a corresponding Area Lock-In Form.
- Ten (10) Area Lock-In Forms reported lockdown incidents that were not reported in the 24-Hour COD Reports.

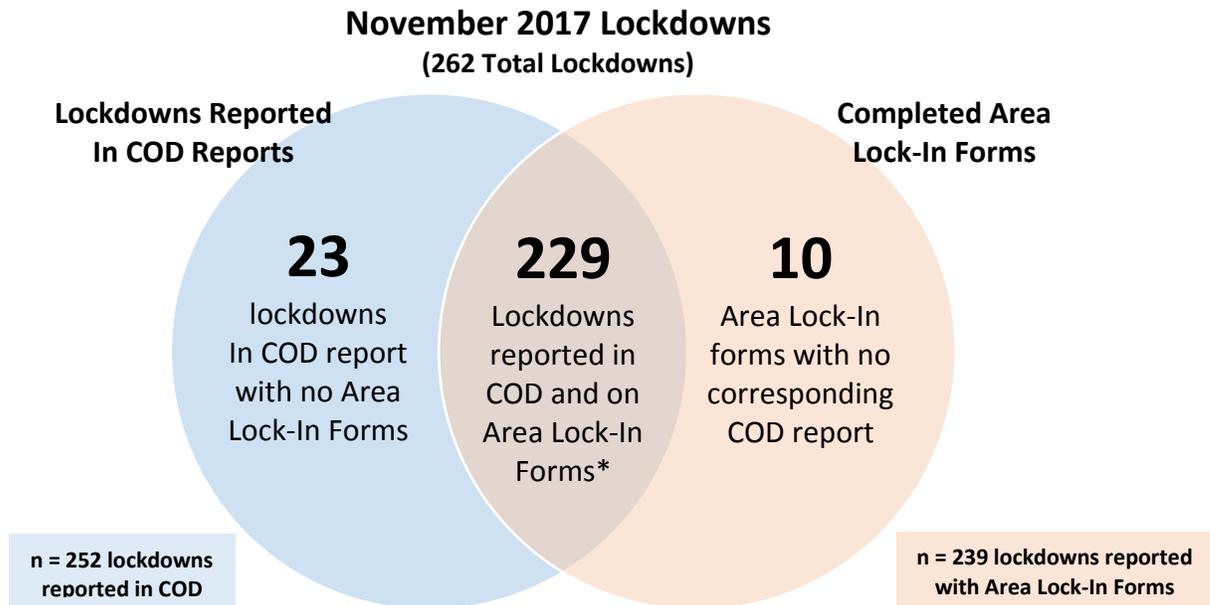
¹ N.Y.C. DEP'T OF CORRECTION, DIRECTIVE NO. 4009 R-B, LOCK-IN / LOCK-OUT (REV. 11/17/17) (EFF. 12/22/17).

² N.Y.C. DEP'T OF CORRECTION, DIRECTIVE NO. 4009 R-B, LOCK-IN / LOCK-OUT, FORM ALIR-1 (REV. 11/17/17) (EFF. 12/22/17).

³ GMDC (11/10/17); RNDC (11/24/17).

⁴ A total of 25 forms (14 additional) were associated with these 11 incidents.

Figure 1.



*A total of 243 forms related to these 229 incidents. 11 incidents had multiple forms (n=25) completed for each housing area affected (as opposed to one per incident for all other lockdown incidents reported), resulting in 14 forms for review.

Completeness of Documentation

- A review of the 253 Area Lock-In Forms found:
 - Forty-five percent (45%, n=114) of Area Lock-In Forms did not record the time of the incident and 25% (n=63) did not record the time the lock-in was lifted as is required.
 - Fourteen percent (14%, n=36) of Area Lock-In Forms did not include a signature of the Commanding Officer as is required.
 - All of Rose M. Singer Center's (RMSC) Area Lock-In Forms (n=29) were missing the Commanding Officer's signature.
- For the subset of Area Lock-In Forms that were also reported in the 24-Hour COD Reports (n=229):
 - Ten percent (10%, n=22) of Area Lock-In Forms included a reason for lock-in that did not match the corresponding 24-Hour COD Report.
 - The facility with the most forms without a matching reason for lockdowns (n=9) was the Rose M. Singer Center (RMSC).
 - Thirteen percent (13%, n=29) of Area Lock-In Forms had inmate counts that did not match the corresponding 24-Hour COD Report.
 - The facility with the most forms without matching inmate counts (n=8) was the Brooklyn Detention Center (BKDC).

Reporting of Services Affected⁵

- Thirty-six percent (36%, n=91) of all Area Lock-In Forms (n=253) did not specify which services were affected by the lockdown incident as is required. It is not clear whether services were not affected during these lockdowns or whether DOC staff did not complete this portion of the Area Lock-in form. This form does not require staff to affirmatively document when no mandated services are affected.
 - Of the 162 forms which did indicate the types of services affected:
 - Fifty-six percent (56%, n=141) reported **recreation** was affected.
 - Forty-seven percent (47%, n=120) reported **law library** was affected.
 - Thirty-four percent (34%, n=87) reported **visits** was affected.
 - In total 514 distinct services were affected by lockdowns in November 2017.
 - Twenty-five percent (25%, n=131) of affected services were in BKDC.
- Ninety-four percent (94%, n=237) of forms did not record the time affected services resumed.

Next Steps

The Board will meet with the Department to review these findings and discuss recommendations for updates and improvements to the Department's lockdown tracking and reporting protocols.

⁵ A service was considered "affected" if it was either delayed or cancelled. Each Area Lock-In Form lists seven services (Law Library, Recreation, Religious Services, Sick Call, Visits, Educational Services, Other). DOC staff are required to check whether or not each service was delayed or cancelled as a result of the lockdown. Board staff totaled the number of times the services were checked as delayed or cancelled on the Area Lock-In Forms.

Figure 2.

Total Number of Lockdowns and Lock-In Forms by Facility November 2017		
Facility	Lockdowns	
	Reported in 24-Hour COD reports*	Area Lock-In Forms Provided by DOC
AMKC	9	9
BKDC	43	41
EMTC	20	20
GMDC	17	12
GRVC	14	10
MDC	12	10
NIC	9	9
OBCC	51	46
RMSC	30	28
RNDC	39	37
VCBC	7	6
West	1	1
Total	252	229

*SOURCE: BOC Analysis of DOC 24-Hour COD Reports – November 2017.

Figure 3.

Total Number of Services Affected November 2017 (n=253)			
Service	Delayed	Cancelled	Total Affected
Recreation	82	59	141
Law Library	66	54	120
Visits	47	40	87
Religious Services	39	26	65
Sick Call	42	10	52
Educational Services	12	19	31
Other	6	12	18
Total	294	220	514

SOURCE: BOC Analysis of DOC Facility Report of Area Lock-In Forms – November 2017.

Figure 4.

Total Number of Area Lock-In Forms Without COD Reports November 2017 (n=10)	
Facility	Area Lock-In Forms
GMDC	3
GRVC	3
VCBC	2
RMSC	1
MDC	1
Total	10

SOURCE: BOC Analysis of DOC Facility Report of Area Lock-In Forms – November 2017.

Figure 5.

Total Number of Lockdowns Without Area Lock-In Forms November 2017 (n=23)	
Facility	Area Lock-In Forms
GMDC	5
OBCC	5
GRVC	4
BKDC	2
MDC	2
RMSC	2
RNDC	2
VCBC	1
Total	23

SOURCE: BOC Analysis of DOC 24-Hour COD Reports – November 2017.

	THE CITY OF NEW YORK DEPARTMENT OF CORRECTION			
FACILITY REPORT OF AREA LOCK-IN		FORM ALIR-1 (Rev. 11/17/17) Ref. Dir. 4009R-B		
Facility:		Date of Lock-In:		
Tour Commander (Requesting Lock-In):		Facility Manager (Approving Lock-In):		
Area Locked-In:	Type of Area:	Area Inmate Type:		
No. of Inmates Locked-In:	<input type="checkbox"/> Cell	<input type="checkbox"/> Male <input type="checkbox"/> Female		
	<input type="checkbox"/> Modular	<input type="checkbox"/> Adult <input type="checkbox"/> Adolescent <input type="checkbox"/> Young Adult		
	<input type="checkbox"/> Sprung	<input type="checkbox"/> Detention <input type="checkbox"/> Sentenced		
	<input type="checkbox"/> Dormitory			
Type of Housing:				
<input type="checkbox"/> G.P.	<input type="checkbox"/> New Adm.	<input type="checkbox"/> Max. Sec.		
<input type="checkbox"/> Admin. Seg.	<input type="checkbox"/> PSEG	<input type="checkbox"/> ESH		
	<input type="checkbox"/> Ment. Health	<input type="checkbox"/> P.C.		
	<input type="checkbox"/> Detox	<input type="checkbox"/> M.O.		
	<input type="checkbox"/> Infirm.	<input type="checkbox"/> Civil		
		<input type="checkbox"/> Other _____		
Reason (Include number of inmates involved in incident): _____				
IF ADDITIONAL ROOM NECESSARY, USE OPPOSITE SIDE OF FORM.				
Refer to: <input type="checkbox"/> COD No. _____ <input type="checkbox"/> UOF No. _____ <input type="checkbox"/> N/A				
Time of Incident:	Time of Lock-In:	Time COD Notified:		
Hrs.	Hrs.	Hrs.		
Time of Search:	Time Lock-In Terminated:	Time COD Notified of Termination:		
Hrs.	Hrs.	Hrs.		
Check boxes that apply:	Delayed	Cancelled	Delayed	Cancelled
Law Library	<input type="checkbox"/>	<input type="checkbox"/>	Visits	<input type="checkbox"/>
Recreation	<input type="checkbox"/>	<input type="checkbox"/>	Educational Services	<input type="checkbox"/>
Religious Services (Type) _____	<input type="checkbox"/>	<input type="checkbox"/>	Other _____	<input type="checkbox"/>
Sick Call	<input type="checkbox"/>	<input type="checkbox"/>	Access to services resumed at _____ Hrs.	
Signature of Commanding Officer:				Date:
Distribution: Chief of Department Bureau Chief of Security Respective Bureau and Divisional Chiefs				